

Translation

PATENT COOPERATION TREATY

PCT/JP2003/004789



PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference FP03-0093-00	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/JP2003/004789	International filing date (day/month/year) 15 April 2003 (15.04.2003)	Priority date (day/month/year) 15 April 2002 (15.04.2002)
International Patent Classification (IPC) or national classification and IPC G11B 7/26, G03F 7/26, 7/004		
Applicant NAGASE & CO., LTD.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of <u>5</u> sheets, including this cover sheet.  <input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).  These annexes consist of a total of _____ sheets.
3. This report contains indications relating to the following items:  I <input checked="" type="checkbox"/> Basis of the report II <input type="checkbox"/> Priority III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability IV <input type="checkbox"/> Lack of unity of invention V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement VI <input type="checkbox"/> Certain documents cited VII <input type="checkbox"/> Certain defects in the international application VIII <input type="checkbox"/> Certain observations on the international application

Date of submission of the demand 14 November 2003 (14.11.2003)	Date of completion of this report 01 April 2004 (01.04.2004)
Name and mailing address of the IPEA/JP	Authorized officer
Facsimile No.	Telephone No.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

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## I. Basis of the report

## 1. With regard to the elements of the international application:\*

- ☒ the international application as originally filed
- ☐ the description:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☐ the claims:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, as amended (together with any statement under Article 19  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☐ the drawings:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_
- ☐ the sequence listing part of the description:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_

## 2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

## 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. ☐ The amendments have resulted in the cancellation of:

- ☐ the description, pages \_\_\_\_\_
- ☐ the claims, Nos. \_\_\_\_\_
- ☐ the drawings, sheets/fig \_\_\_\_\_

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

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**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. Statement**

Novelty (N)	Claims	1-6, 8	YES
	Claims	7, 9	NO
Inventive step (IS)	Claims	1-6, 8	YES
	Claims	7, 9	NO
Industrial applicability (IA)	Claims	1-9	YES
	Claims		NO

**2. Citations and explanations**

Claims 7 and 9

Document 1: JP 10-21589 A (Hitachi Chemical Co., Ltd.),  
23 January 1998, embodiment 1 (Family: none)

Document 2: JP 11-167205 A (NEC Corp.), 22 June 1999,  
entire text, all drawings (Family: none)

Document 3: JP 10-301268 A (NEC Corp.), 13 November 1998,  
entire text, all drawings (Family: none)

Document 4: JP 8-44061 A (Nippon Zeon Co., Ltd.), 16  
February 1996, claims (Family: none)

Document 5: JP 5-181277 A (Mitsubishi Kasei Corp.), 23  
July 1993, claims (Family: none)

Document 6: JP 5-323609 A (Tokyo Ohka Kogyo Co., Ltd.), 7  
December 1993, paragraph [0016], (Family:  
none)

Document 7: JP 2001-109165 A (Clariant (Japan) Kabushiki  
Kaisha), 20 April 2001, paragraph [0014],  
(Family: none)

Document 8: JP 2001-291288 A (Hitachi, Ltd.), 19 October  
2001, entire text, all drawings (Family:  
none)

Document 9: JP 2002-60641 A (Shin-Etsu Chemical Co.,  
Ltd.), 26 February 2002, claims (Family:  
none)

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Document 10: JP 6-150391 A (Matsushita Electric Industrial Co., Ltd.), 31 May 1994, paragraph [0038],  
(Family: none)

Document 11: JP 57-66546 A (Sanyo Electric Co., Ltd.), 22 April 1982, entire text, all drawings  
(Family: none)

Document 12: JP 2001-243662 A (Sony Corp.), 7 September 2001, entire text, all drawings (Family: none)

Document 1 (embodiment 1) discloses a method for manufacturing a substrate disk for use as an optical disk wherein a methoxymethylated melamine compound is used, and the use of the substrate disk as a stamper is also disclosed in document 1 (paragraph [0026]), and thus, the present claims 7 and 9 lack novelty.

Further, documents 2 to 7 disclose methoxymethylated melamine compounds, documents 8 to 10 disclose methods for manufacturing an optical disk substrate disk, and documents 11 and 12 disclose techniques for direct formation from a substrate disk, and thus, the present claims 7 and 9 do not involve an inventive step.

Claims 1 to 6 and 8

Document 13: JP 4-77746 A (Sony Corp.), 11 March 1992, entire text, all drawings (Family: none)

Document 14: JP 7-57995 A (Toshiba Corp.), 3 March 1995, entire text, all drawings (Family: none)

Document 15: JP 5-107769 A (Fujitsu Ltd.), 30 April 1993, entire text, all drawings (Family: none)

Document 16: JP 8-305036 A (Oki Electric Industry Co., Ltd.), 22 November 1996, entire text, all drawings (Family: none)

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Documents 1 to 16 show the general state of the art in this technical field, but neither disclose nor suggest the use of a layer comprising a methoxymethylated melamine compound and a layer comprising a semi-crosslinked resist in a method for manufacturing an optical disk substrate disk.